

Attorney's Docket No. 3801.P042

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Patent Application of:)	
)	
Christine Cheng, et al.)	Examiner: Unassigned
)	
Application No.: Unassigned)	Art Unit: Unassigned
)	
Filed: Herewith)	
)	
For: METHOD AND APPARATUS)	
TO DETECT SUSPICIOUS)	
TRANSACTION WITHIN A)	
NETWORK-BASED AUCTION)	
FACILITY)	

Assistant Commissioner for Patents
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to the Assistant Commissioner for Patents, Washington, D. C. 20231 on July 12, 2001

(Date of Deposit)

Carla Zavala

(Name of person mailing correspondence)

(Signature of person mailing correspondence)



Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

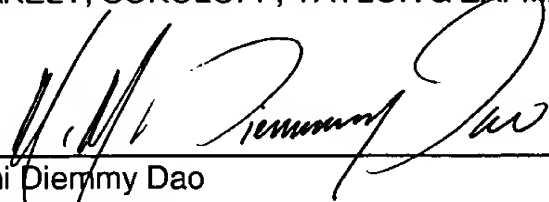
- ☒ 37 C.F.R. §1.97(b).
- ☐ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:
- ☐ A statement pursuant to 37 C.F.R. §1.97(e) or
- ☐ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).
- ☐ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:
- (1) A statement pursuant to 37 C.F.R. §1.97(e); and
 - (2) A check for \$180.00 for the fee under 37 C.F.R. §1.17(p) for submission of the Information Disclosure Statement.

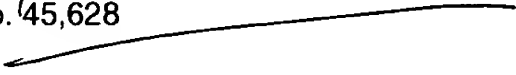
If there are any additional charges, please charge Deposit Account No.
02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: 7-12, 20 01



Mimi Diemmy Dao
Reg. No. 45,628


12400 Wilshire Blvd.
Seventh Floor
Los Angeles, CA 90025-1026
(408) 720-8300

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Christine Cheng, et al.
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	3801.P042

1c-474 U.S. PTO
09/905046
07/12/01

Sheet 1 of 7

U.S. PATENT DOCUMENTS

Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				
	3,581,072		Nymayer	5/25/1971	3/28/1968
	3,573,747		Adams, et al.	4/6/1971	2/24/1969
	4,412,287		Braddock, III	10/25/1983	9/15/1982
	4,674,044		Kalmus, et al.	4/16/1997	1/30/1985
	4,677,552		Sibley, Jr.	6/30/1987	10/5/1984
	4,789,928		Fujisaki	12/6/1988	1/30/1987
	4,799,156 ✓		Shavit, et al.	1/17/1989	10/1/1986
	4,823,265 ✓		Nelson	4/18/1989	5/11/1987
	4,903,201 ✓		Wagner	2/20/1990	11/3/1983
	5,063,507 ✓		Lindsey, et al.	11/5/1991	9/14/1990
	5,077,665 ✓		Sliverman, et al.	12/31/1991	5/25/1989
	5,101,353 ✓		Lupien, et al.	3/31/1992	5/31/1989

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			
	PCT	WO 92/15174 ✓	2/25/1992	Beaumont-Maxin International	9/3/1992	
	PCT	WO 96/34356 ✓	4/26/1996	Fleanet, Inc.	10/31/1996	
	PCT	WO 97/37315 ✓	3/19/1997	Onsale, Inc.	10/9/1997	

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
✓	MALONE, TW; YATES, J; et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , June 1987, Pages 484-497, Vol. 30, No. 6, USA	
✓	WARBELOW, A; KOKURYO, J, "Aucnet: TV Auction Network System". <u>Harvard Business School Case/Study</u> , July 1989, Pages 1-15, HBVR# 9-190-001, USA	
✓	"Personal Optimized Decision/Transaction Program", <u>IBM Technical Disclosure Bulletin</u> , January 1995, Pages 83-84, Vol. 38, No. 1, USA	
✓	NEO, BS, "The implementation of an electronic market for pig trading in Singapore", <u>Journal of Strategic Information Systems</u> , December 1992, pages 278-288, Vol 1, No. 5	

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this box

PTO/SB/08A (10-96)

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	Unassigned
				Filing Date	Herewith
				First Named Inventor	Christine Cheng, et al.
				Group Art Unit	Unassigned
Examiner Name	Unassigned				
Attorney Docket Number	3801.P042				
Sheet	2	of	7		



U.S. PATENT DOCUMENTS					
Examiner Initials *		U.S. Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
		5,136,501 ✓	Silverman, et al.	8/4/1992	5/26/1989
		5,168,446 ✓	Wiseman	12/1/1992	5/23/1989
		5,243,515 ✓	Lee	9/7/1993	10/30/1990
		5,258,908 ✓	Hartheimer, et al.	11/2/1993	11/2/1990
		5,280,422 ✓	Moe, et al.	1/18/1994	11/5/1990
		5,297,031 ✓	Gutterman, et al.	3/22/1994	3/6/1990
		5,297,032 ✓	Trojan, et al.	3/22/1994	2/1/1991
		5,305,200 ✓	Hartheimer, et al.	4/19/1994	11/2/1990
		5,325,297 ✓	Bird, et al.	6/28/1994	6/25/1992
		5,329,589 ✓	Fraser, et al.	7/12/1994	6/3/1993
		5,375,055 ✓	Togher, et al.	12/20/1994	2/3/1992
		5,394,324 ✓	Clearwater	2/28/1995	12/8/1993

FOREIGN PATENT DOCUMENTS							
Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			
		Netherland	9300266 ✓	2.10.1993			
		France	2658635-A1 ✓	2.6.1991			
		Canada	2,253,543 ✓	3/19/1997			Yes

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
✓	ROCKOFF, TE; GROVES, M., "Design of an Internet-based system for remote Dutch auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , January 1, 1995, Vol 5, No. 4, Pages 10-16	
✓	MASSIMB, MN; PHELPS, BD, "Electronic Trading, Market Structure and Liquidity", <u>Financial Analysts Journal</u> , January - February 1994, Vol 50, No. 1, Pages 39-50, Charlottesville, Virginia	
✓	POST, DL; COPPINGER, SS, et al., "Application of Auctions as a Pricing Mechanism for the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , August 1995, Pages 7, Vol. 10,	
✓	HESS, CM; KEMERER, CF., "Computerized Loan Organization System: An Industry Case Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , September 1994, Vol. 18, No 3, Pages 251-274	

Examiner Signature	Date Considered
-----------------------	--------------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this  

PTO/SB/08A (10-96)

Valid for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				<i>Complete if Known</i>	
				Application Number	Unassigned
				Filing Date	Herewith
				First Named Inventor	Christine Cheng, et al.
				Group Art Unit	Unassigned
Examiner Name	Unassigned				
Attorney Docket Number	3801.P042				
Sheet	3	of	7		



U.S. PATENT DOCUMENTS					
Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
		5,426,281 ✓	Abecassis	6/20/1995	10/29/1993
		5,553,145 ✓	Micali	9/3/1996	8/4/1995
		5,640,569 ✓	Miller, et al.	6/17/1997	4/28/1995
		5,664,115 ✓	Fraser	9/2/1997	6/7/1995
		5,689,652 ✓	Lupien, et al.	11/18/1997	4/27/1995
		5,710,889 ✓	Clark, et al.	1/20/1998	6/7/1995
		5,715,402 ✓	Popolo	2/3/1998	11/9/1995
		5,717,989 ✓	Tozzoli, et al.	2/10/1998	10/13/1994
		5,727,165 ✓	Ordish, et al.	3/10/1998	12/27/1994
		5,794,219 ✓	Brown	8/11/1998	2/20/1996
		5,818,914 ✓	Fujisaki	10/6/1998	3/27/1995
		5,826,244 ✓	Huberman	10/20/1998	8/23/1995

FOREIGN PATENT DOCUMENTS							
Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS			
Examiner Initials *		Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	/	RECK, Martin, "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , 1993, Pages 245-252, Vol. 21, Elsevier Science Publishing Co., Inc. New York, Ny.	
	/	"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technical Disclosure Bulletin</u> , March 1996, Pages 363-366, Vol. 39, No. 3	
	/	LEE, G., " Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , 1996, Pages 397-406, Vol. IV	
	/	CLEMINS, E; WEBER, B., "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems</u> , 1991, Pages 53-61, Vol 12	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this  

PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
				Application Number	Unassigned
				Filing Date	Herewith
				First Named Inventor	Christine Cheng et al.
				Group Art Unit	Unassigned
Examiner Name	Unassigned				
Sheet	4	of	7	Attorney Docket Number	3801.P042

U.S. PATENT DOCUMENTS					
Examiner Initials *		U.S. Patent Document	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
		Number			
		5,835,896 ✓	Fisher, et al.	11/10/1998	3/29/1996
		5,845,266 ✓	Lupien, et al.	12/1/1998	12/12/1995
		5,850,442 ✓	Muftic	12/15/1998	3/26/1996
		5,205,200 ✓	Wright	4/27/1993	6/9/1992

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
/	MARDESICH, J., "Onsale Takes Auction gavel electronic", <u>Computer Reseller News</u> , July 8, 1996, Page 2 continued on Page 32, Mountain View, California.	
/	"Onsale joins fray as online shopping picks up speed: Internet Booms", <u>Computer Reseller News</u> , June 5, 1995, Page 73, CMP Publications, Inc., USA.	
/	SIEGMANN, KEN, "Nowhere to go but up", <u>PC Week</u> , October 23, 1995, Page 1-3, Vol. 12, No. 42, Ziff-Davis Publishing Company	
/	"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet retail service debuts with week-long charity auction for the Computer Museum in Boston", May 24, 1995, Pages 3	

Examiner Signature		Date Considered	
-------------------------------	--	----------------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Valid for use through 10/31/99. OMB 0651-0031

+

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO
(Modified by BSTZ 6/30/99)

(use as many sheets as necessary)

Complete if Known

Application Number

Unassigned

Filing Date

Herewith

First Named Inventor

Christine Cheng, et al.

Group Art Unit

Unassigned

Examiner Name

Unassigned

Sheet	5	of	7
-------	---	----	---

Attorney Docket Number

3801.P042

[illegible]

Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	✓ SCHMID, BF., "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , October 1993, No. 9/10	
	✓ TJOSTHEIM, I; EIDE, J., "A case study of an on-line auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Given, Pages 1-10	
	✓ GRAHAM, I., "The Emergence of Linked Fish Markets in Europe", <u>Focus Theme</u> , No Date Given, Pages 1-4	
	✓ RECK, Martin., "Trading-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-7	

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

+

Approved for use through 10/31/99. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

(use as many sheets as necessary)

Complete if Known

Application Number

Unassigned

Filing Date

Herewith

First Named Inventor

Christine Cheng, et al.

Group Art Unit

Unassigned

Examiner Name

Unassigned

Sheet	6	of	7
-------	---	----	---

Attorney Docket Number

3801.P042

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials *		Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
		Office or Country	Number	Date			

OTHER DOCUMENTS

Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
/	VAN HECK, E; RIBBERS, PM., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme</u> , No Date Given, Pages 1-6	
/	LEE, HG., "Aucnet: Electronic Intermediary for Used-Car Transactions", <u>Focus Theme</u> , No Date Given, Pages 1-5	
/	KLEIN, S., "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given, Pages 1-4	
/	TURBAN, E., "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme</u> , No Date Given, Pages 1-5	

Examiner
Signature

Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Please type a plus sign (+) inside this



PTO/SB/08A (10-96)

Approved for use through 10/31/99. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO (Modified by BSTZ 6/30/99) INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				<i>Complete if Known</i>	
				Application Number	Unassigned
				Filing Date	Herewith
				First Named Inventor	Christine Cheng et al.
				Group Art Unit	Unassigned
				Examiner Name	Unassigned
Sheet	7	of	7	Attorney Docket Number	3801.P042

U.S. PATENT DOCUMENTS					
Examiner Initials *	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Filing Date if Appropriate
	Number				

FOREIGN PATENT DOCUMENTS						
Examiner Initials *	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Translation? Yes/No
	Office or Country	Number	Date			

OTHER DOCUMENTS		
Examiner Initials *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published (if known).	Translation? Yes/No
	ZWASS, VLADIMIR., "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce</u> , Fall 1996, Pages 3-23, Vol. 1, No. 1	

Examiner Signature	Date Considered
--------------------	-----------------

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

